

LEAD 756 – CHANGE MANAGEMENT THEORY

ANNOTATED BIBLIOGRAPHY

Compiled by Cheryl Kisunzu – July 6, 2010

-----The process of systematic change (Mar/Apr 2006). *TechTrends*(50).2, 41-51.

In this Section 5 of *Tech Trends*, multiple authors review the logistics of leading change in school districts. Phases for conducting educational change are identified. The impact of innovations to sustain or disrupt the implementation of change is reviewed. The concept of attaining critical mass to move the change forward is presented as a crucial understanding for leaders. Chaos Theory is reviewed as a viable theory for leading change in school systems. The observation is made that strategies for leading change are most effective when the impact of these strategies is considered for it is possible “to successfully build a new bridge which might under heavy wind”.

Boyd, N. & Bright, D. (2007). Appreciative inquiry as a mode of action research for community psychology. *Journal of Community Psychology*(35) 8, 1019-1036.

The potential of appreciative inquiry as a positive strengths based theory for leading change is presented and contrasted against Lewin’s model for leading change. This comparison is followed by a case presentation which demonstrates how appreciative inquiry was effectively use by a community organization to formulate its goals and achieve its objectives. This article also incorporates insights from Kotter’s work on leading change. The author makes a compelling invitation for the power and potential of the four steps for leading change which are to discover, dream, design and to ultimately achieve destiny. This theory views an organization not from an illness problem oriented perspective but from that of established strength which is harnessed for maturing strength and progressive goal attainment.

Demers, C.(2007). *Organizational change theories: A synthesis*. Thousand Oaks: Sage Publications.

This resource contains a synthesis of major organizational change theories. What is unique about this overview is that the theories are placed within an historical context. The timeline begins from World War II and extends to the present. Each theoretical approach is compared with parallel societal theories. The format used for this overview is both rigorous yet readable. This reference does not include practitioner-oriented literature on leading change which is why the theorist, Lewin is included in this review – but information on Kotter’s theory of leading change is excluded.

Erwin, D. (2009). Changing organizational performance: Examining the change process. *Hospital Topics: Research and Perspectives in Healthcare*, 87(3), 28-40.

The case presentation of leading a hospital from fiscal ruin to financial vitality is the context used to critique the relevance of change theories espoused by Lewin, Kotter and Schein. Also incorporated into this review are the author's personal observations made as he shared this 18 month journey through planned change in the capacity of the organization's consultant. The reality to remediate the inevitability of backsliding is candidly addressed in this review. Emphasis is consistently given to the importance of committed leadership – which from the author's perspective, is essential for leading the organization successfully through the anxiety and pain of the change.

Kim, W. Chan and Mauborgne, R (2006). Tipping point leadership. *Harvard Business Review*. 19-44.

The leadership of New York commissioner William Bratton is reviewed specifically as it pertains to his phenomenal ability to transform failing organizations to successful, goal-achieving businesses. His signature strategy for success is defined as “tipping point leadership”. Though no theory for leading change is provided as a context for his success – his ability to successfully replicate these strategies in a manner that results in extraordinary organizational transformation – makes them worthy of consideration. To break through the cognitive resistance to change, Bratton ensures the experiential awareness of the problem by his leaders. Through this strategy administrators experience the problems which need to be addressed. Through this personal recognition, the needed support for the recommended change and its implementation is spontaneously received. The Resource Hurdle – “we don't have enough money” is conquered by Bratton's targeting his available resources on the most visible problem - thereby stimulating the greatest positive momentum for the desired change. The motivational hurdle is conquered by convincing key influencers of the need for the desired change. These respected individuals then become champions for the initiative and positively influence the rest of the organization.. The final hurdle, that of political challenges is addressed by silencing powerful naysayers before the change is implemented – ideally by appointing a respected senior insider as the head of the change team.

Kotter, J. (1999). *John P. Kotter on what leaders really do*. Boston, MA: Harvard Business Press.

This book contains the articles written by Dr. Kotter on leading change as published in the *Harvard Business Review* between 1979 through 1997. The compilation of writings in this reference make these valuable insights available through one source. These insights are based on fourteen formal studies, more than a thousand interviews, direct observation and interactions with executives in diverse organizations which have been personally conducted by Dr. Kotter.

Kotter, J. (2008). *A sense of urgency*. Boston, MA: Harvard Business Press.

Dr. Kotter has identified 8 steps for leading change which are 1) a sense of urgency; 2) the guiding team; 3) visions and strategies; 4) communication; 5) empowerment; 6) celebrating short term wins; 7) never letting up and 8) making change stick. This book is exclusively dedicated to exploring the first step - developing a "sense of urgency". Dr. Kotter states that he believes this exclusive focus is necessary since, from his perspective, this step is the most difficult to effectively implement. In this reference, he defines urgency and contrasts it with, what he terms as the typical organizational norm of complacency. Strategies are identified for increasing urgency so that the desired change can be achieved. The relevance of these tactics is presented as valuable for both business and personal leadership.

Kotter, J (2006). Leading change: Why transformation efforts fail. *Harvard Business Review*. 1-17

Based on Dr. Kotter's analysis of change initiatives at over 100 companies, such as Eastern Airlines, he concludes that most change efforts fail. In this article the eight reasons, which emerge from his research, for these failed efforts are identified. These errors are subsequently transformed into his renowned eight step model for leading change. Strategies for effectively implementing this model are reviewed. Organizational leaders are strongly encouraged to continue to champion and practice the desired change. He further recommends that specific attention be given to succession planning. This intentionality helps to ensure that the planned change will be continued through effective integration into the organization's culture.

Maginn, M. (2005). *Managing in times of change*. San Francisco, CA: McGraw-Hill.

This author observes that a basic reality of business life is that an organization will either positively change or wither. 24 managerial tools for leading change are identified and reviewed. The tools are practical. They are however presented without a theoretical context. Observations by effective leaders of change are strategically placed throughout this reference in a way that reinforces the relevance and credibility for the suggested strategies.

Schultz, A. (June 2007). Implementation: A team effort. *Nursing Management*, 12-14.

The Diffusion of Innovation Theory is reviewed as a framework for implementing evidenced-based practice in health care facilities. Special emphasis is given to its relevance for implementing planned change for nursing practice – while correspondingly recommending its relevance for non health care organizations. The theory is comprised of the following five stages: 1) Knowledge; 2) Persuasion; 3) Decision; 4) Implementation and 5) Confirmation. The author further observes that leaders of change must understand that though these stages for implementing change are presented in a linear format – implementation is characterized by a dance which goes back and forth between the stages.

Simmons, O. (2006). Some professional and personal notes on research methods, systems, theory, and grounded action. *World Futures* 62, 481-490.

This article addresses the schism that historically exists between academicians, who are theorists and practitioners – who apply the theory. After reflecting on his roles as both an academician and a practitioner – the author makes a strong appeal for greater collaboration between these two groups. He believes that as a result the theories will have practical relevance and practitioner insights for responding to client needs will be enriched. He believes that there is at least one effective approach for creating change which is preferred and sustained. This approach of action oriented data based grounded theory is reviewed. He concludes by observing that actions produce changes in systems – which in turn produce new or unexpected outcomes that simulate more change. Thus the need for consistent responsiveness is affirmed.

Stober, D. (March 2008). Making it stick: coaching as a tool for organizational change. *Journal of Theory, Research and Practice* 1 (1), 71-80.

In this article, coaching as an effective tool for implementing and sustaining change is illustrated. The effectiveness of this strategy is reviewed through the lens of Kotter's eight step theory for leading change and the Transtheoretical Model of Change as articulated by Prochaska and DiClemente. The author suggests that change is most effectively led through a blend of these models which results in the following eight stages:

1. Create a sense of urgency
2. Form a guiding coalition – leaders must walk the talk p.77
3. Develop a compelling vision and strategy – vision must be viewed as relevant and feasible
4. Communicate the vision and strategy – leaders must communicate the workforce why the organizational change is personally relevant and meaningful to individual employees – once individual meaning is confirmed – organizational value may then be established
5. Establish their own awareness of the need for change (precontemplation)
6. Decide to make the change (contemplation)
7. Plan for making the change (preparation)
8. Implementing the change (action).

Strebel, P (2006) Why do employees resist change? *Harvard Business Review*, 45-62.

The article begins with a review of the well established statistic that success rates in leading change are less than favorable. The author suggests that the reason for this poor success is the very different view of change as held by leadership and members of the workforce. Organizational leaders see the change as an opportunity to strengthen the business whereas members of the workforce view the change as disruptive or a venue through which potential incompetence could be revealed – especially, if a new complement of skills is needed to respond to the change. The suggested remedy to this impediment is understanding what is referred to as the “personal compact” between the company and its employees. This article further explores the tenets and relevance of proactive attentiveness to this compact by organizational leaders committed to effective implementation of positive change.

vanDam, K, Oreg, S., Schyns, B.(2008). Daily work context and resistance to organizational change: The role of leader-member exchange, development climate, and change process characteristics. *Applied Psychology: An International Review* 57(2), 313-334.

Though based in the Netherlands, the researchers consistently reference Kotter's theory of leading change as a context for their study on resistance to change. The primary purpose of this study is to examine how characteristics of the context for daily work are related to employees' attitudes towards large-scale organizational change – in this case an organizational merger. The researchers observe, that most of the studies on leading change have been conducted in the United States, therefore, they are interested in seeing if the findings from this research will be evidenced in Holland. The study's limitations are that it is conducted in only one organization with only one level of administrators as study participants. The leader-member exchange theory (LMX) theory provided the framework for this research. These researchers believe that, as a result of a close work relationships – employees in high-quality LMX relationships will receive more information about the change and therefore will have a greater opportunity to participate in the change, while ultimately developing greater trust in the management responsible for leading the change. As a result, it is their belief that these employees with high-quality LMX relationship will be less resistant to the change – thereby facilitating its implementation.